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Searching for a bottom-up approach and methodologies for developing foundations and principles of sound public administration

Bottom-up approach and methodologies for developing foundations and principles of sound public administration: questionnaires

Note by the Secretariat

Summary

The questionnaires presented in this paper are aimed at generating relevant information on bottom-up strategies that could be considered for adoption by countries at different stages of development. The intention is to produce an instrument which would solicit views from various strata of citizens on the principles that they consider fundamental in guiding the performance of public administration and on how best to involve citizens in the governance process and, by so doing, reinforce their trust in arrangements, institutions and practices impacting on their lives. A logical corollary to this is that the will and the capacity to participate will be among the objects of the inquiry into measures deemed adequate at different times and places to achieve the objectives of engaged and bottom-up governance.

The purpose of the exercise is not to rank States on any engaged governance scale, or to sit in judgment over the systems adopted at any time or place. The aim is rather to solicit the views of three principal categories of stakeholder (senior Government officials, opinion leaders and individual households) on the strategies to be adopted in constructing a set of principles and foundations for public administration founded on the doctrine of citizen participation. The inclusion of the citizen — the so-called "ordinary man or woman in the street" — among the

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respondents is justifiable, considering that the whole idea of bottom-up public administration revolves around the citizen, and the extent to which he or she is able to build, and operate within, networks capable of exerting pressure on the State leviathan and leveraging improvements in service delivery standards.

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I. Background

1. While bottom-up approaches and methodologies for developing sound principles of public administration have been discussed at national and international gatherings, the decision to explore the theme in a systematic and sustained manner was taken in April 2005 by the Committee of Experts on Public Administration. Convinced that Governments worldwide stand to benefit from involving the citizenry in decision-making processes, the Committee, at its fourth session, requested the Secretariat to develop a questionnaire aimed at generating relevant information on bottom-up strategies that might be considered for adoption by countries at different stages of development. The intention is to produce an instrument which would solicit views on how best to involve citizens in the governance process and, by so doing, reinforce their trust in arrangements, institutions and practices impacting on their lives. A logical corollary to this is that the will and the capacity to participate will be among the objects of the inquiry into measures deemed adequate at different times and places to achieve the objectives of engaged and bottom-up governance.

II. Underlying assumptions

2. Before proceeding with the drafting of questionnaires, the Division for Public Administration and Management adopted the following assumptions:

(a) While civic engagement is indispensable to the attainment of the objectives of good governance and sound public administration, there is as yet no model that totally replicates the ideal;

(b) Public administration principles founded on bottom-up doctrines stand a good chance of being widely adopted if such principles are backed by empirical studies indicating how and with what degree of success they have been applied within and across countries;

(c) Even after the necessary empirical studies have been undertaken, it will still be unrealistic to expect to see a model of civic engagement in governance and public administration that is uniformly applicable across cultures and over changing epochs;

(d) Countries in different parts of the world have applied a variety of measures and strategies that could reasonably be described as bottom-up, albeit each with its own unique characteristics;

(e) Regardless of cultural and other differences, bottom-up approaches have to surmount a few common challenges, the most prominent being that of building consensus around the measures needed to enhance the service delivery capacities of, and to strengthen public trust in, governance and public administration institutions;

(f) Progress towards a convergence of views on engaged governance is likely to be hastened (or facilitated) by the launching and implementation of a cross-cultural research project which, among other things, captures the perceptions of three classes of stakeholders, namely, top Government officials; corporate, civic and national opinion leaders; and individual citizens/households;

(g) To capture the perceptions and attitudes of all the principal stakeholders, it is necessary to develop three questionnaires instead of the one originally envisaged.

III. Objectives and overview of the three research instruments

3. On the basis of the preceding assumptions, the Division developed three instruments aimed broadly at generating empirical data on respondents' perceptions on the methodologies to be adopted to involve the citizen in the enunciation, validation, and application of public administration principles. It should be emphasized that the purpose of the exercise is not to rank States on any engaged governance scale, or to sit in judgment over the systems adopted at any time or place. Rather, the aim is to solicit the views of three principal stakeholders (senior Government officials, opinion leaders and individual households) on the strategies to be adopted in constructing a new public administration system founded on the doctrine of citizen participation.

4. The questionnaires individually and collectively address broadly four issues, namely, the respondents' notion of what constitutes sound public administration principles; their definition of a "bottom-up" approach or strategy (including its variants and derivatives); their views on how public administration principles could be made to respond to citizens' concerns; and their recommendations on the steps to be taken to eliminate obstacles to the effective application of citizen-oriented public administration principles.

5. It is fair to ask whether the questionnaires are not, in their current forms, too lengthy. The Division in fact was initially inclined to limit the number of questions. However, in view of the fact that the bottom-up concept is subject to different interpretations, and against the background of the complex set of relationships that need to be probed to understand how the concept works from one place to another, the Division thought it wise to admit as many questions as need answering.

6. Fortunately, most of the questions posed in the questionnaires are structured and coded rather than open-ended. This should make it possible to elicit responses that can be easily interpreted and analysed.

7. Another issue that the Division had to resolve is that of the number of questionnaires to prepare. Proceeding from the underlying assumptions stated in paragraph 2 above, it settled on three questionnaires (for senior Government officials, opinion leaders and individual citizens) rather than one. It is obvious why Government officials should be identified as a key target group in a bottom-up governance inquiry. As individuals entrusted with the authority to be exercised in pursuance of the sovereign powers of a specific State, Government officials exert tremendous influence on the shape and direction of public administration and on the scope and limits of "engaged governance". At the very least, they assist in enacting laws and in formulating policies which determine the role of key institutions, particularly elected local authorities, the field offices of central Government and civic and other types of non-governmental organizations.

8. The inclusion of the citizen — the so-called "ordinary man or woman in the street" — is likewise easily justifiable, considering that the whole idea of bottom-up public administration revolves around the citizen, and the extent to which he or she

is able to build, and operate within, networks capable of exerting pressure on the State leviathan and leveraging improvements in service delivery standards.

9. What might at first glance appear difficult to defend is the identification of "opinion leaders" as a separate category whose role is critical to our understanding of the impact and effectiveness of bottom-up strategies. Yet, without probing the contributions of the opinion leaders, we would be leaving out a category that is strategically placed between the State and the people and is capable, from this intermediate vantage point, of corroborating the views expressed by other stakeholders. Needless to add that, as bona fide and theoretically enlightened citizens, the opinion leaders hold perceptions that could not be overlooked when examining the range and impact of institutions established in pursuit of the objective of engaged governance.

Questionnaire 1
Policymakers and senior government officials

10. The first instrument is designed to obtain the views of policymakers and senior career officials on contemporary public administration principles and practices and on the interface between both and the ordinary citizen. The instrument is divided into five substantive sections, of which the first solicits the respondent's views on selected public administration principles; the second explores the range and effectiveness of institutional mechanisms for civic participation in public administration processes; the third seeks the views of the respondent on the role of the citizen in service delivery; the fourth asks for the respondent's opinions on the specific issue of professionalism and political impartiality of the career service; and the fifth focuses on public officials' responsiveness and accountability to the citizen. The last part of the questionnaire solicits basic information on each respondent.

Questionnaire 2
Opinion leaders

11. The second questionnaire targets the "opinion leaders", a loosely defined category that is positioned between the Government and the people. This intermediate category includes, but is by no means limited to, corporate executives, civic and community leaders, social commentators, trade union officials, the clergy and leading academics. The questionnaire gauges the respondent's opinions on a variety of issues, notably public administration principles; citizen involvement in public administration processes and in service delivery; professionalism and political impartiality; and the responsiveness and accountability of public officials to the citizea. The concluding part of the questionnaire is essentially biographical and is meant to help in the process of disaggregating the responses to the substantive questions.

Questionnaire 3
Individual citizens/households

12. The third instrument is designed to solicit data on the cognitive and affective orientations of those loosely referred to as "ordinary citizens" — the beneficiaries of

policy choices or victims of governance missteps, depending on changing circumstances. It is divided into four main sections, the first focusing on the respondent's views on public administration principles; the second on citizen participation; the third on perceptions of the service delivery systems that should be in place; and the fourth on accountability of public institutions to civil society. Like questionnaire 2, the third instrument has a final section seeking information on the respondent's demographic features.

IV. Implementation plan

13. Assuming that the Committee will wish to pursue the matter further, the Division hopes to develop a project proposal on the inauguration of a cross-cultural research study on bottom-up and engaged governance approaches to developing foundations and principles of sound public administration. The proposal will not only clarify the objectives of the exercise but will include a budget reflecting the activities to be undertaken and the outputs to be produced.

14. The activities envisaged under the project include:

(a) Research design;

(b) Preparation of a project document and resource mobilization;

(c) Testing of the three questionnaires (if possible, in the New York metropolitan area and in collaboration with a New York-based university);

(d) Conversion of the three questionnaires into electronic format, to allow for online completion and submission along with conventional modes of administration;

(e) Development/adaptation of software for data analysis and translation;

(f) Mailing (by conventional and electronic modes) of questionnaire 1 to Government officials of all United Nations Member States;

(g) On the basis of the responses to questionnaire 1, selection of a representative sample of countries from each region to participate in the next stage (i.e., administration of questionnaires 2 and 3);

(h) Identification of partner institutions to administer questionnaires 2 and 3 in sample/selected countries;

(i) Conduct of research methodology workshops for national partner institutions (with particular emphasis on questionnaires 2 and 3 and how they are to be completed);

(j) Translation of questionnaires 2 and 3 into local languages (by partner institutions);

(k) Conduct of questionnaire administration workshops for research associates and assistants in national partner institutions (in each selected country);

(l) Administration of questionnaires 2 and 3 in local languages (and retranslation of the responses into English);

(m) Project monitoring and progress reporting;

(n) Transmission of responses (by conventional and electronic means);

(o) Data storage, tabulation, analysis and interpretation (using appropriate computer software);

(p) Report writing;

(q) Decision of material to include in flagship publication(s);

(r) Exploration of other dissemination outlets.

15. In light of the preceding observations, it is recommended that the Committee vet the three questionnaires prepared by the Division and give its approval for the final drafts to be administered as part of a major cross-cultural study on bottom-up strategies for developing public administration principles. The Committee is further requested to appeal to Member States and the donor community to lend their full support to the research project.

Annex

Questionnaires

Questionnaire 1: For Policy Makers and Senior Career Officials

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

i. Neutrality
ii. Legality
iii. Continuity
iv. Proximity and accessibility of services to citizens
v. Participation and consultation
vi. Mediation
vii. Monitoring and evaluation of services
viii. Transparency and information
ix. Quality
x. Effectiveness
xi. Efficiency
xii. Ethics
xiii. Integrity
xiv. Accountability
xv. Reliability
xvi. Confidentiality
xvii. Speed and accuracy
xviii. Professionalism
xix. Responsiveness
xx. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION IN PUBLIC ADMINISTRATION PROCESSES

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services or should this be reserved to Public servants only?

i. Should be reserved to Public Servants only
ii. Citizens should always participate
iii. Citizens should participate only in specific activities
iv. I do not know

2: If you believe that citizens should participate, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

i. .....

ii. .....

3: Do you believe that any of the following measures will promote citizen involvement in public administration processes (Check YES or NO, as appropriate):

i. Routinization/institutionalization of civic engagement in policy analytic and options identification processes (Yes/No)?
ii. Establishment of formal institutional mechanisms to facilitate citizen participation in local-level development planning and management (Yes/No)?
iii. Establishment of formal institutional mechanisms to facilitate citizen participation in national (i.e., Ministerial and Departmental) strategic planning process (Yes/No)?
iv. Investment in civic education programmes (Yes/No)?
v. Incorporation of bottom-up methodologies in public service training curricula (Yes/No)?
vi. Involvement of the citizen in the evaluation of the performance of career officials (particularly, service delivery agents) (Yes/No)?

4: To what extent should citizens or their representatives be involved in budgeting and resource allocation decisions (check ONE ONLY):

i. To the maximum extent possible (meaning that they should be present at all crucial meetings)
ii. To a large extent (meaning that their inputs should be actively solicited, and their submissions should be given full consideration by the Government at the budget formulation stage)
iii. To a certain extent (meaning that only vocal and insistent demands should be considered at the budget formulation stage)
iv. To no extent, as "external interference" are potential causes of budget "distortions" which should on no account be entertained

5: Do you think that it is necessary to establish a special arrangement making it possible for disadvantaged groups to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

6: Do you think that it is necessary to establish a special arrangement enabling the poor to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

7: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the local level (Yes/No)?

8: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the national level (Yes/No)?

SECTION C: CITIZEN'S ROLE IN SERVICE DELIVERY

1: Is it necessary for the Government to have a special initiative aimed at improving the quality and standards of services provided by various agencies (Yes/No)?

2: Should the private sector be involved in the design and implementation of the initiative (and particularly, the identification of "customer service indicators) (Yes/No)?

3: Should civil society be involved in the design and implementation of the initiative (Yes/No)

4: How should a service delivery initiative view and treat the citizen (check ONE ONLY):

i. Purely as a citizen – with rights and obligations?
ii. Purely as a "customer" with preferences and "tastes"?
iii. As both a citizen and a "customer"?
iv. As neither?
v. As any other kind of individual (i.e.,_____)?

5: Is it necessary to obtain the inputs of citizens and "customers" when developing indicators for the performance of public agencies (Yes/No)?

6: Is it necessary to establish performance standards based on the citizen-determined performance indicators (Yes/No)?

7: Should citizens and "customers" have any say at all in setting these (sometimes "technical", including time, cost, and quality) standards (Yes/No)?

8: Should the opinions (and evaluations) of citizens and "customers" count when Ministries and Departments are taking decisions on the careers of service delivery agents (e.g., decisions on renewal of contracts, promotion, re-assignment, discipline) (Yes/No)?

SECTION D: VIEWS ON PROFESSIONALISM AND POLITICAL IMPARTIALITY

1: Do you think that public service professionalism serves a useful purpose (Check YES/NO)

i. Yes
ii. No
iii. No opinion one way or the other

2: Please check YES/NO against each of the following questions, as appropriate:

i. Is the application of merit in the selection of career officials necessary to maintain public service professionalism (Yes/No)?
ii. Does the principle of "security of tenure" for career officials (irrespective of grade level or occupational category) serve the cause of professionalism (Yes/No)?
iii. Will performance contracting help promote the cause of professionalism (Yes/No)?
iv. Are legal provisions on the representation of minorities and historically disadvantaged groups consistent with the principle of professionalism (Yes/No)?

3: Can you suggest ONE other measure which in your opinion will promote the cause of public service professionalism?

4: Which of the following should determine the selection of candidates for top *policy* making posts (such as Minister, Chairperson of State-owned Enterprises) (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Political loyalty (and membership of a political party)?
iv. Professional, and managerial competence *as well as* political loyalty?
v. Any other consideration (such as_____)

5: Which of the following should determine the selection of candidates for *policy advisory* posts (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Demonstrable political loyalty?
iv. Professional and managerial competence *as well as* political loyalty?
v. Any other consideration (such as_____)

6: Which of the following should determine the selection of candidates for senior career positions (such as Principal/Permanent Secretary) (tick all the applicable):

i. Professional qualifications and/or experience?
ii. Track record as managers?
iii. Demonstrable political loyalty?
iv. Professional competence *and* political loyalty?
v. Any other consideration (such as_____)

7: Should the appointments of senior career officials be based on the principle of "security of tenure"? (Check YES/NO)?

8: Which of the following classes of appointments should be subject to periodic renewal (check ONE ONLY):

i. Politically sensitive posts
ii. Posts of Permanent Secretary and Heads of Department
iii. Posts entailing frequent contacts with the public (e.g., law enforcement and customs administration posts)
iv. Senior judicial appointments (judges, magistrates, etc.)?
v. All of the above?
vi. None of the above?

SECTION E: PUBLIC OFFICIALS' RESPONSIVENESS AND ACCOUNTABILITY TO THE CITIZEN

1: Which of the following would you say constitute the best way to make public administration responsive to the public? (Tick all the applicable):

i. Strengthening the accountability of public officials to the citizens' elected representatives?
ii. Ensuring full participation of the citizen in setting standards for various categories of public services and in evaluating the actual performance of service delivery agencies against these standards?
iii. Imposing term limits on certain classes of career positions?
iv. Subjecting certain classes of career appointments to direct election?
v. Introducing performance contracts for all classes of posts in the public service?
vi. Introducing performance contracts for senior managers and professionals only?
vii. Any other suggestion (_____)?

2: In your view as an individual, how should petitions against executive misconduct or tyranny be handled to enhance accountability of Public administration to the citizen? (tick all the applicable):

i. be handled by ombudsman
ii. be handled by courts of law
iii. be handled through transparent public hearings
iv. be handled through public commissions of enquiry
v. be handled through special Presidential tribunals
vi. be handled by international tribunals
vii. Any other (write as many as you can think of).

3: Assuming that a particular decision (say, on recruitment, tendering or procurement) is perceived to be unfair, how would you expect the person(s) adversely affected to react (please tick all the applicable):

i. do nothing?
ii. enlist the support of powerful allies such as members of parliament., friends and relatives in high places, community leaders, etc.)?
iii. take the case to party headquarters and ask the leaders to intervene on behalf of a specific applicant?
iv. join hands with reform advocates and become a powerful movement for integrity in public life?
v. submit anonymous petitions?

4: Should investigations of contested decisions be carried out with dispatch, by which is meant, the investigations should be completed and results announced (check ONE):

i. within a short period (in under a month)
ii. over a fairly long period (2 – 6 months)
iii. over a very long period (after 6 months of receipt of petition, or request for review)
iv. for as long as is necessary to establish the facts and arrive at a just conclusion?

5: Should the relief awarded to genuinely aggrieved citizen/client take any of the following forms (check YES/NO against each as appropriate):

i. Depending on the nature of the grievance, formal apology and financial compensation (or damages) (Yes/No);
ii. Formal apology, financial compensation, plus abrogation of contested decision (Yes/No);
iii. abrogation of contested decision only (Yes/No);
iv. formal apology only (Yes/No);
v. institution of disciplinary proceedings against offending decision maker (Yes/No).

6: Is it appropriate to insert in the constitution or the statutes provisions for the recall (by members of the public) of holders of the following classes of posts in order to enhance accountability ?(Check YES/NO to each question):

i. Political functionaries, such as Ministers, Chairpersons of state agencies, (Yes/No)
ii. Senior career officials (Yes/No)
iii. Holders of senior judicial appointments (judges, magistrates, etc.)?
iv. Middle-level officials (Yes/No)
v. Service delivery agents dealing with members of the public on a regular basis (Yes/No)
vi. All categories of public officials (Yes/No)
vii. None of the above (Yes/No)

7: If the central (or local) government contemplates a highly controversial decision, particularly, a decision that is likely to disturb the people's daily routines or affect their livelihoods which of the following measures should it adopt before proceeding further (Check YES/NO against each question, as appropriate):

viii. It should establish a public committee or commission of inquiry whose terms of reference would include soliciting the views of the public and of the affected persons (Yes/No);
ix. It should establish an internal task force/committee with instructions to explore the pros and cons of the proposed decision (Yes/No);
x. It should recruit a firm of consultants to carry out necessary specialized studies and submit recommendations (Yes/No);
xi. The Government, or a duly authorized person, should simply take a decision (e.g., issue an eviction order) and should expect the order to be promptly and strictly enforced (Yes/No);
xii. The agency to implement a disagreeable decision should begin by arranging meetings with leaders/representatives of persons likely to be affected (Yes/No);
xiii. The agency of the Government should mount a publicity campaign aimed at educating the general public about the benefits of the proposed decision (Yes/No);
xiv. The Government should consult widely with the people and with the affected persons, but should still do what it set out to do regardless of what the people and the affected persons say (Yes/No).

SECTION F: GENERAL

1: Kindly state briefly (maximum 250 words) any additional measures that need to be adopted to ensure that on-going citizen-centred initiatives accord with sound principles of public administration.

BIOGRAPHICAL SKETCH

Respondent's Name (OPTIONAL): _____

Profession:

(a) Political appointee
(b) Career Administrator/Manager
(c) Medical, Legal, Engineering etc.
(d) Others

Age (check ONE):

i. Below 20 years
ii. Between 20 and 30 years
iii. Between 31 and 40 years
iv. Between 41 and 50 years
v. Between 51 and 60 years
vi. Above 60 years

Gender (check ONE):

vii. Male
viii. Female

Highest Educational Qualifications (check ONE):

ix. Primary Education (with or without vocational training)
x. Secondary
xi. Secondary (with technical/vocational training)
xii. University (First) Degree or equivalent
xiii. Master's Degree or equivalent
xiv. Theological education
xv. Professional qualifications (e.g., in law, accounting, engineering);
xvi. Doctorate

Questionnaire 2: For Opinion Leaders (in Civil Society, the Private Sector, Academic Community, Trade Unions, the Print and Electronic Media)

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

xxi. Neutrality
xxii. Legality
xxiii. Continuity
xxiv. Proximity and accessibility of services to citizens
xxv. Participation and consultation
xxvi. Mediation
xxvii. Monitoring and evaluation of services
xxviii. Transparency and information
xxix. Quality
xxx. Effectiveness
xxxi. Efficiency
xxxii. Ethics
xxxiii. Integrity
xxxiv. Accountability
xxxv. Reliability
xxxvi. Confidentiality
xxxvii. Speed and accuracy
xxxviii. Professionalism
xxxix. Responsiveness
xl. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION IN PUBLIC ADMINISTRATION PROCESSES

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services?

v. Yes
vi. No
vii. I do not know

2: If yes, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

iii. .....

.....

3: Do you believe that any of the following measures will promote citizen involvement in public administration processes (Check YES or NO, as appropriate):

i. Routinization/institutionalization of civic engagement in policy analytic and options identification processes (Yes/No)?
ii. Establishment of formal institutional mechanisms to facilitate citizen participation in local-level development planning and management (Yes/No)?
iii. Establishment of formal institutional mechanisms to facilitate citizen participation in national (i.e., Ministerial and Departmental) strategic planning process (Yes/No)?
iv. Investment in civic education programmes (Yes/No)?
v. Incorporation of bottom-up methodologies in public service training curricula (Yes/No)?

vi. Involvement of the citizen in the evaluation of the performance of career officials (particularly, service delivery agents) (Yes/No)?

4: To what extent should citizens or their representatives be involved in budgeting and resource allocation decisions (check ONE ONLY):

i. To the maximum extent possible (meaning that they should be present at all crucial meetings)
ii. To a large extent (meaning that their inputs should be actively solicited, and their submissions should be given full consideration by the Government at the budget formulation stage)
iii. To a certain extent (meaning that only vocal and insistent demands should be considered at the budget formulation stage)
iv. To no extent, as "external interference" are potential causes of budget "distortions" which should on no account be entertained

5: Do you think that it is necessary to establish a special arrangement making it possible for disadvantaged groups to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

6: Do you think that it is necessary to establish a special arrangement enabling the poor to have their priorities reflected at the budget formulation and resource allocation stages (Yes/No)?

7: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the local level (Yes/No)?

8: Do you think that civic groups have a role in tracking the purposes/ends for which budget resources are allocated at the national level (Yes/No)?

SECTION C: CITIZEN'S ROLE IN SERVICE DELIVERY

1: Is it necessary for the Government to have a special initiative aimed at improving the quality and standards of services provided by various agencies (Yes/No)?

2: Should the private sector be involved in the design and implementation of the initiative (and particularly, the identification of "customer service indicators) (Yes/No)?

3: Should civil society be involved in the design and implementation of the initiative (Yes/No)

4: How should a service delivery initiative view and treat the citizen (check ONE ONLY):

i. Purely as a citizen – with rights and obligations?
ii. Purely as a "customer" with preferences and "tastes"?
iii. As both a citizen and a "customer"?
iv. As neither?
v. As any other kind of individual (i.e.,_____)?

6: Is it necessary to obtain the inputs of citizens and "customers" when developing indicators for the performance of public agencies (Yes/No)?

8: Is it necessary to establish performance standards based on the citizen-determined performance indicators (Yes/No)?

9: Should citizens and "customers" have any say at all in setting these (sometimes "technical", including time, cost, and quality) standards (Yes/No)?

10: Should the opinions (and evaluations) of citizens and "customers" count when Ministries and Departments a taking decisions on the careers of service delivery agents (e.g., decisions on renewal of contracts, promotion, r assignment, discipline) (Yes/No)?

SECTION D: VIEWS ON PROFESSIONALISM AND POLITICAL IMPARTIALITY

1: Do you think that public service professionalism serves a useful purpose (Check YES/NO)

iv. Yes
v. No
vi. No opinion one way or the other

2: Please check YES/NO against each of the following questions, as appropriate:

v. Is the application of merit in the selection of career officials necessary to maintain public service professionalism (Yes/No)?
vi. Does the principle of "security of tenure" for career officials (irrespective of grade level or occupationa category) serve the cause of professionalism (Yes/No)?
vii. Will performance contracting help promote the cause of professionalism (Yes/No)?
viii. Are legal provisions on the representation of minorities and historically disadvantaged groups consisten with the principle of professionalism (Yes/No)?

3: Can you suggest ONE other measure which in your opinion will promote the cause of public service professionalism?

4: Which of the following should determine the selection of candidates for top *policy* making posts (such as Minister, Chairperson of State-owned Enterprises) (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Political loyalty (and membership of a political party)?
ix. Professional, and managerial competence *as well as* political loyalty?
x. Any other consideration (such as _____)

5: Which of the following should determine the selection of candidates for *policy advisory* posts (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Demonstrable political loyalty?
ix. Professional and managerial competence *as well as* political loyalty?
x. Any other consideration (such as _____)

6: Which of the following should determine the selection of candidates for senior career positions (such as Principal/Permanent Secretary) (tick all the applicable):

vi. Professional qualifications and/or experience?
vii. Track record as managers?
viii. Demonstrable political loyalty?
ix. Professional competence *and* political loyalty?
x. Any other consideration (such as _____)

7: Should the appointments of senior career officials be based on the principle of "security of tenure"? (Check YES/NO)?

8: Which of the following classes of appointments should be subject to periodic renewal (check ONE ONLY):

vii. Politically sensitive posts
viii. Posts of Permanent Secretary and Heads of Department
ix. Posts entailing frequent contacts with the public (e.g., law enforcement and customs administration posts)
x. Senior judicial appointments (judges, magistrates, etc.)?
xi. All of the above?
xii. None of the above?

SECTION E: PUBLIC OFFICIALS' RESPONSIVENESS AND ACCOUNTABILITY TO THE CITIZEN

1: Which of the following would you say constitute the best way to make public administration responsive to the public? (Tick all the applicable):

viii. Strengthening the accountability of public officials to the citizens' elected representatives?
ix. Ensuring full participation of the citizen in setting standards for various categories of public services and in evaluating the actual performance of service delivery agencies against these standards??
x. Imposing term limits on certain classes of career positions?
xi. Subjecting certain classes of career appointments to direct election?
xii. Introducing performance contracts for all classes of posts in the public service?
xiii. Introducing performance contracts for senior managers and professionals only?
xiv. Any other suggestion (_____)?

2: In your view as an individual, how should petitions against executive misconduct or tyranny be handled to enhance accountability of Public administration to the citizen? (tick all the applicable):

viii. be handled by ombudsman
ix. be handled by courts of law
x. be handled through transparent public hearings
xi. be handled through public commissions of enquiry
xii. be handled through special Presidential tribunals
xiii. be handled by international tribunals
xiv. Any other (write as many as you can think of).

3: Assuming that a particular decision (say, on recruitment, tendering or procurement) is perceived to be unfair, how would you expect the person(s) adversely affected to react (please tick all the applicable):

vi. do nothing?
vii. enlist the support of powerful allies such as members of parliament , friends and relatives in high places, community leaders, etc.)?
viii. take the case to party headquarters and ask the leaders to intervene on behalf of a specific applicant?
ix. join hands with reform advocates and become a powerful movement for integrity in public life?
x. submit anonymous petitions?

4: Should investigations of contested decisions be carried out with dispatch, by which is meant, the investigations should be completed and results announced (check ONE):

v. within a short period (in under a month)
vi. over a fairly long period (2 – 6 months)
vii. over a very long period (after 6 months of receipt of petition, or request for review)
viii. for as long as is necessary to establish the facts and arrive at a just conclusion?

5: Should the relief awarded to genuinely aggrieved citizen/client take any of the following forms (check YES/NO against each as appropriate):

vi. Depending on the nature of the grievance, formal apology and financial compensation (or damages) (Yes/No);
vii. Formal apology, financial compensation, plus abrogation of contested decision (Yes/No);

viii. abrogation of contested decision only (Yes/No);
ix. formal apology only (Yes/No);
x. institution of disciplinary proceedings against offending decision maker (Yes/No).

6: Is it appropriate to insert in the constitution or the statutes provisions for the recall (by members of the public) of holders of the following classes of posts in order to enhance accountability ?(Check YES/NO to each question):

i. Political functionaries, such as Ministers, Chairpersons of state agencies, (Yes/No)
ii. Senior career officials (Yes/No)
iii. Holders of senior judicial appointments (judges, magistrates, etc.)?
iv. Middle-level officials (Yes/No)
v. Service delivery agents dealing with members of the public on a regular basis (Yes/No)
vi. All categories of public officials (Yes/No)
vii. None of the above (Yes/No)

7: If the central (or local) government contemplates a highly controversial decision, particularly, a decision that is likely to disturb the people's daily routines or affect their livelihoods which of the following measures should it adopt before proceeding further (Check YES/NO against each question, as appropriate):

i. It should establish a public committee or commission of inquiry whose terms of reference would include soliciting the views of the public and of the affected persons (Yes/No);
ii. It should establish an internal task force/committee with instructions to explore the pros and cons of the proposed decision (Yes/No);
iii. It should recruit a firm of consultants to carry out necessary specialized studies and submit recommendations (Yes/No);
iv. The Government, or a duly authorized person, should simply take a decision (e.g., issue an eviction order) and should expect the order to be promptly and strictly enforced (Yes/No);
v. The agency to implement a disagreeable decision should begin by arranging meetings with leaders/representatives of persons likely to be affected (Yes/No);
vi. The agency of the Government should mount a publicity campaign aimed at educating the general public about the benefits of the proposed decision (Yes/No);
vii. The Government should consult widely with the people and with the affected persons, but should still do what it set out to do regardless of what the people and the affected persons say (Yes/No).

SECTION E: GENERAL

Kindly state briefly (maximum 250 words) any additional measures that need to be adopted to ensure that on-going citizen-centered initiatives accord with sound principles of public administration.

BIOGRAPHICAL SKETCH

Respondent's Name (OPTIONAL):_____
Age (check ONE):

xvii. Below 20 years
xviii. Between 20 and 30 years
xix. Between 31 and 40 years
xx. Between 41 and 50 years
xxi. Between 51 and 60 years
xxii. Above 60 years

Gender (check ONE):

xxiii. Male
xxiv. Female

Highest Educational Qualifications (check ONE):

xxv. Primary Education (with or without vocational training)
xxvi. Secondary
xxvii. Secondary (with technical/vocational training)
xxviii. University (First) Degree or equivalent
xxix. Master's Degree or equivalent
xxx. Theological education
xxxi. Professional qualifications (e.g., in law, accounting, engineering);
xxxii. Doctorate

Occupation (tick ONE):

i. Entrepreneur (Small- or Medium-Size Enterprise, including management/engineering consulting)
ii. Business Executive (Managing, Executive, non-Executive Director)
iii. Senior Civil Servant (Management/Professional Category)
iv. University Teacher/Researcher
v. Cleric (all faiths)
vi. Secondary School Teacher
vii. NGO/CBO Executive/Programme Manager
viii. Trade Union Leader or Official
ix. Other (_____)

Questionnaire 3: For Individual Citizens/Households

SECTION A: FUNDAMENTAL PRINCIPLES GUIDING PUBLIC SERVICE:

1: Of the following tick all those that should be the fundamental principles guiding the performance of the public service?

xli. Neutrality
xlii. Legality
xliii. Continuity
xliv. Proximity and accessibility of services to citizens
xlv. Participation and consultation
xlvi. Mediation
xlvii. Monitoring and evaluation of services
xlviii. Transparency and information
xlix. Quality
l. Effectiveness
li. Efficiency
lii. Ethics
liii. Integrity
liv. Accountability
lv. Reliability
lvi. Confidentiality
lvii. Speed and accuracy
lviii. Professionalism
lix. Responsiveness
lx. Others (write down as many as you can think of).

SECTION B: CITIZEN PARTICIPATION

1: In your view, should citizens participate directly in planning, monitoring and evaluating the delivery of public services?

viii. Yes
ix. No
x. I do not know

2: If yes, propose at least two formal institutional arrangements for promoting interactions between Government and the citizen.

iv. .....

v. .....

3: Do you think that any of the following methods will assist ordinary citizens to participate effectively in public affairs, local and/or national? (check YES/NO, or DON'T KNOW):

i. Organization of referenda and plebiscites on key constitutional, political, or social issues (Yes/No/Don't know)
ii. Establishment of a platform for addressing the special concerns of minorities and disadvantaged groups (Yes/No/Don't know)?
iii. Commissioning or conduct of periodic public opinion polls (Yes/No/Don't know)?
iv. Promotion of access to information (if need be through the passage of Freedom of Information Acts)? (Yes/No/Don't know)

v. Provision of legal and institutional arrangements to facilitate participation by ordinary citizens in Town Hall/Village Council meetings (Yes/No/Don't know)
vi. Provision of legal and institutional arrangements to facilitate participation by the genuinely poor at meetings where decisions are taken on development programmes (Yes/No/Don't know)
vii. Provision of legal and institutional arrangements to facilitate participation by the genuinely poor at meetings (including primaries and electoral colleges) where decisions are taken on the *candidates* to stand for election (Yes/No/Don't know)
viii. Establishment of forums at which the people could meet elected and career officials to raise issues of personal or group concern (Yes/No/Don't know)
ix. Broadening of opportunities for community delegations to present local concerns to national/local government (Yes/No/Don't know).

4: In your view, how seriously should the urban and rural poor take the responsibility to participate in decisions affecting their livelihood and well-being? (check ONE only):

i. Very seriously?
ii. Seriously?
iii. To some extent?
iv. Not seriously?
v. Not at all?
vi. Don't know?

5: In your opinion, which of the following limit the citizens' access to public officials and the services they provide (tick which ever is applicable)

i. The generality of the people who have shown little or no interest in claiming their rights and fulfilling their obligations as citizens of an organized community (Yes/No/Don't know)
ii. Individual citizens for choosing to approach public officials one by one rather than organize in groups to champion the cause of good governance (Yes/No/Don't know)?
iii. The press, for failing to provide adequate civic education (Yes/No/Don't know)
iv. The elite, for failing to provide self-less and exemplary leadership (Yes/No/Don't know)
v. The civil service bureaucracy, for keeping processes cumbersome, bewildering, and mysterious (Yes/No/Don't know)
vi. The political parties, for not educating their followers on the tenets of good governance (Yes/No/Don't know).

SECTION C: RESPONDENT'S VIEWS ON EFFECTIVENESS AND IMPACT OF SERVICE DELIVERY SYSTEMS

1: Which of the following methods is most effective in involving rural communities in food and agriculture development policies? (check ONLY ONE).

i. participation of the communities' representatives in meetings of rural development committees?
ii. reactivation of primary producers' cooperatives and encouragement of producers to work within the cooperatives?
iii. reactivation of the moribund savings and thrift societies?
iv. Any other method (such as_____)?

2: Which of the following methods is most effective in involving urban dwellers in the formulation and implementation of urban development policies (check ONLY ONE):

i. encouragement of urban dwellers to channel their grievances and suggestions through voluntary associations (like Tenants/Landlords', Neighborhood Security, and Environmental Cleanup Associations)?
ii. Co-option of citizen representatives into development committees of local governments?

iii. Empowerment of citizens to recall officials found guilty of dereliction of duties and/or misconduct?
iv. Any other method (such as _____)?

3: Which of the following methods is most effective in enabling the poor to influence the design and implementatio of poverty alleviation programmes? (check ONLY ONE):

i. Channeling of poor people's concerns through NGOs, civic associations and powerful interest groups?
ii. Channeling of poor people's concerns through political parties?
iii. Allowing the poor to nominate own representatives to serve on poverty profiling and eradicatio committees?
iv. Strengthening the institutional linkage between the poor and the agencies responsible for the design an implementation of poverty alleviation projects/programmes?
v. Any other method (such as _____)?

4: Do you think that it is possible for the poor to participate in (check YES/NO against each of the followin questions):

i. the choice of projects to implement in urban/rural areas (Yes/No)
ii. cost-sharing and sundry resource mobilization efforts (Yes/No)
iii. implementation of specific project components, such as site clearing, maintenance of installed facilities (Yes/No)
iv. Project monitoring and reporting, including watching allocation, disbursement and tracking of funds (Yes/No)

5: Please answer YES OR NO to the following questions:

i. The most efficient (and least costly) way to reflect the concerns of the poor in the delivery of essentia services (e.g., health, education, energy distribution, and infrastructure development) is to "out-source" the provision of the services? (Yes/No)?
ii. Privatization of economic goods (such as energy generation, water supply and distribution, and rura telephony) will not only lead to efficient allocation of resources but will also make the service accessible to the poor (Yes/No)?
iii. It is absolutely necessary to involve the beneficiaries (particularly the poor) in the development o indicators/standards for the evaluation of the delivery of public services (Yes/No)?
iv. Members of the public should have opportunities to assess the performance of public officials (such a education, health, medical, and paramedical personnel, judges and law enforcement officials) and bring the clients' complaints to the attention of the officials' superiors (Yes/No)?
v. The public should be made aware of the channels for lodging complaints and for having their grievance redressed (Yes/No)?
vi. The only way to ensure that the services have visible impact on the poor is to involve thei representatives at the critical decision making stages – that is, from the stage of priority setting, through project formulation, to implementation and monitoring (Yes/No)?
vii. The poor are capable of monitoring the efficiency, impact, and equitable provision of essential service (Yes/No)?
viii. The poor have the time and the resources to perform these critical oversight functions (Yes/No)?
ix. The poor or their representatives performing these oversight roles should be compensated for the time spent on civic duties (Yes/No)?
x. The poor are duly motivated to perform these critical oversight functions (Yes/No)?

SECTION D: RESPONDENT'S COMMENTS ON ACCOUNTABILITY OF PUBLIC INSTITUTIONS TO CIVIL SOCIETY

1. Which of the following do you think would increase your knowledge of and information on governance and public administration? (check YES/NO to each question, as appropriate):
    i. Newspapers with national coverage (Yes/No)?
    ii. Regional/provincial newspapers (Yes/No)?
    iii. National, government-run radio/TV station (Yes/No)?
    iv. Private radio/TV stations (Yes/No)?
    v. Foreign newspapers (Yes/No)?
    vi. Foreign radio/TV stations (Yes/No)?
    vii. The internet and electronic domains (Yes/No)?
    viii. Friends and colleagues (Yes/No)?
    ix. Relatives and immediate family members (Yes/No)
    x. Community leaders (Yes/No)?
    xi. Government agencies (Yes/No)?
    xii. Trade or professional associations to which you belong (Yes/No)?

2: To whom do you think the government in general should be accountable (tick all the applicable from the list)
    i. the citizens
    ii. the parliament
    iii. the Judiciary
    iv. the president
    v. others (write down all you can think of)

3: In the event that any person known to you feels aggrieved by an official decision (say, a decision on recruitment, promotion, or contract award), how do you think the person is MOST LIKELY to respond? Will s/he (check only ONE):
    i. fold his/her arms and do nothing?
    ii. enlist the support of powerful allies and seek the protection of M.Ps., friends and relatives in high places, community leaders, etc.)?
    iii. take the case to party headquarters and ask the leaders to intervene on his/her behalf?
    iv. join hands with reform advocates and become a powerful movement for integrity in public life?
    v. Submit anonymous petitions?
    vi. Not applicable (as this is unlikely to be an issue of concern)?

4: What should be the distinguishing features of the procedure established at any time or place to hold public officials accountable? Should the procedure be (check YES or NO, as applicable):
    i. Simple to understand and easy to follow (Yes/No/Don't know)
    ii. Devoid of needless stops and "thirteen signatures" (Yes/No/Don't know)?
    iii. Transparent (with no booby traps) (Yes/No/Don't know)
    iv. Customer/Citizen-friendly (Yes/No/Don't know)
    v. Clear-cut and precise, even if slightly intimidating to the poor and to the average citizen (Yes/No/Don't know)

5: In your view, should petitions against executive misconduct or high-handedness be (check YES or NO to each question, as you deem fit):
    i. Investigated in camera (and not in the full glare of the whole world) (Yes/No)?
    ii. Investigated only when serious allegations are levied (Yes/No)?
    iii. Investigated only when public interest and press coverage intensify (Yes/No)?
    iv. Not be investigated at all (Yes/No)?
    v. Don't know?

RESPONDENT'S SHORT BIOGRAPHY

1: Respondent's Name (OPTIONAL):_____

2: Age (check ONE):

i. Below 20 years
ii. Between 20 and 30 years
iii. Between 31 and 40 years
iv. Between 41 and 50 years
v. Between 51 and 60 years
vi. Above 60 years

3: Gender (check ONE):

i. Male
ii. Female

4: Highest Educational Qualifications (check ONE):

i. No formal education
ii. Primary Education (with or without vocational training)
iii. Secondary
iv. Secondary (with technical/vocational training)
v. University (First) Degree or equivalent
vi. Master's Degree and above
vii. Professional qualifications (e.g., in law, accounting, engineering).

5: Occupation (tick ONE):

i. Private sector employee
ii. Trader
iii. Skilled worker (e.g., mechanic, bricklayer, plumber, hair stylist)
iv. Unskilled labourer
v. Self-employed
vi. Job seeker
vii. Other (_____)